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STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION	Docket Number (Optional) MSKP003USNP
<p>Applicant, Patentee, or Identifier: <u>Sirotnak, Francis M., et al.</u></p> <p>Application or Patent No.: <u>(to be assigned - Nat'l Phase of PCT/US97/11982)</u></p> <p>Filed or Issued: <u>Herewith</u></p> <p>Title: <u>Purified Compositions of 10-Propargyl-10-Deazaaminopterin</u> <u>and Methods of Using Same in the Treatment of Tumors</u></p> <p>I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:</p> <p>NAME OF NONPROFIT ORGANIZATION <u>Southern Research Institute</u></p> <p>ADDRESS OF NONPROFIT ORGANIZATION <u>2000 Ninth Avenue South</u> <u>Birmingham, AL 35255</u></p>	
<p>TYPE OF NONPROFIT ORGANIZATION:</p> <p><input type="checkbox"/> UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION</p> <p><input checked="" type="checkbox"/> TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))</p> <p><input type="checkbox"/> NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE _____) (CITATION OF STATUTE _____)</p> <p><input type="checkbox"/> WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA</p> <p><input type="checkbox"/> WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE _____) (CITATION OF STATUTE _____)</p> <p>I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:</p> <p><input type="checkbox"/> the specification filed herewith with title as listed above.</p> <p><input type="checkbox"/> the application identified above.</p> <p><input type="checkbox"/> the patent identified above.</p> <p>I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p> <p>Each person, concern, or organization having any rights in the invention is listed below:</p> <p><input type="checkbox"/> no such person, concern, or organization exists.</p> <p><input type="checkbox"/> each such person, concern, or organization is listed below.</p> <p>I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))</p>	
<p>NAME OF PERSON SIGNING <u>Alan H. Dean</u></p> <p>TITLE IN ORGANIZATION OF PERSON SIGNING <u>Vice President, Commercialization</u></p> <p>ADDRESS OF PERSON SIGNING <u>2000 Ninth Avenue So., Birmingham, AL 35255</u></p> <p>SIGNATURE <u><i>Alan H. Dean</i></u> DATE <u>11/7/99</u></p>	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Docket Number (Optional)
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Application or Patent No.: (to be assigned - Nat'l Phase of PCT/US97/11982)
Filed or Issued: Herewith

Title: Purified Compositions of 10-Propargyl-10 Deazaaminopterin
and Methods of Using Same in the Treatment of Tumors

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below.
NAME OF NONPROFIT ORGANIZATION Sloan-Kettering Institute for Cancer
ADDRESS OF NONPROFIT ORGANIZATION 1275 York Avenue Research
New York, NY 10021

TYPE OF NONPROFIT ORGANIZATION:

☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))

☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
IF LOCATED IN THE UNITED STATES OF AMERICA

☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING James S. Quirk

TITLE IN ORGANIZATION OF PERSON SIGNING Senior V.P., Research Resources Management

ADDRESS OF PERSON SIGNING 1275 York Avenue, New York, NY 10021

SIGNATURE James S. Quirk DATE 1/11/99

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STATEMENT CLAIMING SMALL ENTITY STATUS
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and Methods of Using Same in the Treatment of Tumors

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION SRI International
ADDRESS OF NONPROFIT ORGANIZATION 333 Ravenswood Avenue
Menlo Park, CA 94025

TYPE OF NONPROFIT ORGANIZATION:

☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))

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Each person, concern, or organization having any rights in the invention is listed below:

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☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Edward E. Davis
TITLE IN ORGANIZATION OF PERSON SIGNING Assistant Secretary, SRI International
ADDRESS OF PERSON SIGNING 333 Ravenswood Avenue; Menlo Park CA 94025
SIGNATURE [Signature] DATE January 8, 1999

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

03/15/1999 PVOLPE

01 FC:254

65.00 00

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

- // Declaration submitted with initial filing
// Declaration submitted after initial filing (surcharge (37 CFR 1.16(e) required)

#2

As a below named inventor, I hereby declare that:

1. My residence, post office address, and citizenship are as stated below next to my name.
2. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PURIFIED COMPOSITIONS OF 10-PROPARGYL-10-DEAZAAMINOPTERIN AND METHODS OF USING SAME IN THE TREATMENT OF TUMORS

the specification of which

// is attached hereto
or

/X/ was filed on (MM/DD/YYYY) _____ as United States Application Number or PCT International Application Number **PCT/US97/11982** and was amended on _____ (if applicable).

3. I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.
4. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
5. I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number :
Country :
Foreign Filing Date (MM/DD/YYYY) :
Priority Claimed :
Certified Copy Attached :

6. I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number : 60/021,908
Filing Date (MM/DD/YYYY) : July 17, 1996

7. I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to

patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number :
Parent Filing Date (MM/DD/YYYY) :
Parent Patent Number (if applicable) :

POWER OF ATTORNEY

8. As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

/X/ Customer Number 021121

Bar Code Label

9. Direct all correspondence to:

Oppedahl & Larson, LLP
P. O. Box 5270
Frisco, CO 80443-5270
Telephone: (970) 668-2050
Facsimile: (970) 668-2082

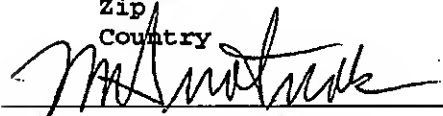
10. Customer Number Bar Code Label:

Customer Number: 021121

NAME OF SOLE OR FIRST INVENTOR

11. I hereby declare that all statements made herein of my own knowledge are true and that all statement made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any])	100	Francis M.
Family Name or Surname	:	SIROTNAK
Residence: City	:	New York ny
State	:	NY
Country	:	US
Citizenship	:	US
Post Office Address	:	c/o Memorial Sloan Kettering
	:	Cancer Center
	:	1275 York Avenue
City	:	New York
State	:	NY
Zip	:	10021
Country	:	US
		Date 1/8/99
Francis M. Sirotnak		
(Inventor's Signature)		

ADDITIONAL INVENTORS

Name of Additional Joint Inventor, if any:

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any]) : James R.
 Family Name or Surname : PIPER
 Residence: City : Birmingham
 State : AL
 Country : US
 Citizenship : US
 Post Office Address : P. O. Box 55305
 City : Birmingham
 State : AL
 Zip : 35255
 Country : US

James R. Piper
 (Inventor's Signature)

Date

Name of Additional Joint Inventor, if any:

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any]) : ³⁰⁰ Joseph I.
 Family Name or Surname : DeGRAW
 Residence: City : Missoula
 State : MT MT
 Country : US
 Citizenship : US
 Post Office Address : 1255 Snowbowl Drive
 City : Missoula
 State : MT
 Zip : 59802
 Country : US

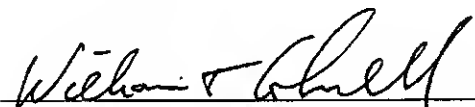
Joseph I. DeGraw
 (Inventor's Signature)

Date

Name of Additional Joint Inventor, if any:

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any]) : ⁴⁰⁰ William T.
Family Name or Surname : COLWELL
Residence: City : Menlo Park CA
State : CA
Country : US
Citizenship : US
Post Office Address : 1055 Del Norte
City : Menlo Park
State : CA
Zip : 94025
Country : US


William T. Colwell
(Inventor's Signature)


Date

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

- / / Declaration submitted with initial filing
/ / Declaration submitted after initial filing (surcharge (37 CFR 1.16(e) required)

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PURIFIED COMPOSITIONS OF 10-PROPARGYL-10-DEAZAAMINOPTERIN AND METHODS OF USING SAME IN THE TREATMENT OF TUMORS

the specification of which
// is attached hereto
or

/X/ was filed on (MM/DD/YYYY) _____ as United States Application Number or PCT International Application Number **PCT/US97/11982** and was amended on _____ (if applicable).

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Prior Foreign Application Number :
Country :
Foreign Filing Date (MM/DD/YYYY) :
Priority Claimed :
Certified Copy Attached :

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patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number :
Parent Filing Date (MM/DD/YYYY) :
Parent Patent Number (if applicable) :

POWER OF ATTORNEY

8. As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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P. O. Box 5270
Frisco, CO 80443-5270
Telephone: (970) 668-2050
Facsimile: (970) 668-2082

10. Customer Number Bar Code Label:

Customer Number: 021121

NAME OF SOLE OR FIRST INVENTOR

11. I hereby declare that all statements made herein of my own knowledge are true and that all statement made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any])	:	Francis M.
Family Name or Surname	:	SIROTNAK
Residence: City	:	New York
State	:	NY
Country	:	US
Citizenship	:	US
Post Office Address	:	c/o Memorial Sloan Kettering
	:	Cancer Center
	:	1275 York Avenue
City	:	New York
State	:	NY
Zip	:	10021
Country	:	US

Date _____

Francis M. Sirotnak
(Inventor's Signature)

100

/ / A petition has been filed for this unsigned inventor.

ventor
200
James R.
PIPER
Birmingham
AL AL

Date January 7, 1999

/ / A petition has been filed for this unsigned inventor.


111

Date _____

Name of Additional Joint Inventor, if any:

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any])	:	William T.
Family Name or Surname	:	COLWELL
Residence: City	:	Menlo Park
State	:	CA
Country	:	US
Citizenship	:	US
Post Office Address	:	1055 Del Norte
City	:	Menlo Park
State	:	CA
Zip	:	94025
Country	:	US



William T. Colwell
(Inventor's Signature)

Date

ADDITIONAL INVENTORS

Name of Additional Joint Inventor, if any:

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Given Name (first and middle [if any]) : James R.
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Residence: City : Birmingham
State : AL
Country : US
Citizenship : US
Post Office Address : P. O. Box 55305
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State : AL
Zip : 35255
Country : US

James R. Piper
(Inventor's Signature)

Date

=====

Name of Additional Joint Inventor, if any:

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any]) : Joseph I.
Family Name or Surname : DeGRAW
Residence: City : Missoula
State : MT
Country : US
Citizenship : US
Post Office Address : 1255 Snowbowl Drive
City : Missoula
State : MT
Zip : 59802
Country : US

Joseph I. DeGraw
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Date

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State	:	CA
Zip	:	94025
Country	:	US

William T. Colwell
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Date

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Country	:	US
Citizenship	:	US
Post Office Address	:	c/o Memorial Sloan Kettering
	:	Cancer Center
	:	1275 York Avenue
City	:	New York
State	:	NY
Zip	:	10021
Country	:	US

Date _____

Francis M. Sirotnak
(Inventor's Signature)

ADDITIONAL INVENTORS

Name of Additional Joint Inventor, if any:

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any]) : JAMES R.
Family Name or Surname : PIPER
Residence: City : Birmingham
State : AL
Country : US
Citizenship : US
Post Office Address : P. O. Box 55305
City : Birmingham
State : AL
Zip : 35255
Country : US

James R. Piper
(Inventor's Signature)

Date

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Given Name (first and middle [if any]) : Joseph I.
Family Name or Surname : DeGraw
Residence: City : Missoula
State : MT
Country : US
Citizenship : US
Post Office Address : 1255 Snowbowl Drive
City : Missoula
State : MT
Zip : 59802
Country : US

Joseph I. DeGraw
(Inventor's Signature)

Date

6201 000 01 05-7

Name of Additional Joint Inventor, if any:

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Given Name (first and middle [if any])	:	William T.
Family Name or Surname	:	COLWELL
Residence: City	:	Menlo Park
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Country	:	US
Citizenship	:	US
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City	:	Menlo Park
State	:	CA
Zip	:	94025
Country	:	US

William T. Colwell
(Inventor's Signature)

Date

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

- // Declaration submitted with initial filing
// Declaration submitted after initial filing (surcharge (37 CFR 1.16(e) required)

As a below named inventor, I hereby declare that:

1. My residence, post office address, and citizenship are as stated below next to my name.
2. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PURIFIED COMPOSITIONS OF 10-PROPARGYL-10-DEAZAAMINOPTERIN AND METHODS OF USING SAME IN THE TREATMENT OF TUMORS

the specification of which

// is attached hereto
or

/X/ was filed on (MM/DD/YYYY) _____ as United States Application Number or PCT International Application Number **PCT/US97/11982** and was amended on _____ (if applicable).

3. I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.
4. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
5. I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number :
Country :
Foreign Filing Date (MM/DD/YYYY) :
Priority Claimed :
Certified Copy Attached :

6. I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number : 60/021,908
Filing Date (MM/DD/YYYY) : July 17, 1996

7. I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to

patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number :
Parent Filing Date (MM/DD/YYYY) :
Parent Patent Number (if applicable) :

POWER OF ATTORNEY

8. As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

/X/ Customer Number 021121

Bar Code Label

9. Direct all correspondence to:

Oppedahl & Larson, LLP
P. O. Box 5270
Frisco, CO 80443-5270
Telephone: (970) 668-2050
Facsimile: (970) 668-2082

10. Customer Number Bar Code Label:

Customer Number: 021121

NAME OF SOLE OR FIRST INVENTOR

11. I hereby declare that all statements made herein of my own knowledge are true and that all statement made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

// A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any])	:	Francis M.
Family Name or Surname	:	SIROTNAK
Residence: City	:	New York
State	:	NY
Country	:	US
Citizenship	:	US
Post Office Address	:	c/o Memorial Sloan Kettering
	:	Cancer Center
	:	1275 York Avenue
City	:	New York
State	:	NY
Zip	:	10021
Country	:	US

Date _____

Francis M. Sirotnak
(Inventor's Signature)

ADDITIONAL INVENTORS

Name of Additional Joint Inventor, if any:

/ / A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any]) : James R.
Family Name or Surname : PIPER
Residence: City : Birmingham
State : AL
Country : US
Citizenship : US
Post Office Address : P. O. Box 55305
City : Birmingham
State : AL
Zip : 35255
Country : US

James R. Piper
(Inventor's Signature)

Date

=====

Name of Additional Joint Inventor, if any:

/ / A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any]) : Joseph I.
Family Name or Surname : DeGRAW
Residence: City : Missoula
State : MT
Country : US
Citizenship : US
Post Office Address : 1255 Snowbowl Drive
City : Missoula
State : MT
Zip : 59802
Country : US

Joseph I. DeGraw
(Inventor's Signature)

Date

Attorney Docket No. MSKP003NP

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U.S. Parent Application or PCT Parent Number :
 Parent Filing Date (MM/DD/YYYY) :
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Residence: City	:	New York
State	:	NY
Country	:	US
Citizenship	:	US
Post Office Address	:	c/o Memorial Sloan Kettering
	:	Cancer Center
	:	1275 York Avenue
City	:	New York
State	:	NY
Zip	:	10021
Country	:	US

Date _____

Francis M. Sirotnak
 (Inventor's Signature)